



PATENT

Attorney Docket No. 39878-0021

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application

PATENT APPLICATION

Inventor(s): Kaplan

Art Unit: 2633

Application No.: 10/613,772

Examiner: not assigned

Filed: 07/02/2003

Title Electro-optical integrated transmitter chip for
arbitrary quadrature modulation of optical signals

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):

(1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)
-- OR --

(2) It is being filed within 3 months of entry of a national stage
-- OR --

(3) It is being filed before the mail date of the first Office Action on the merits
-- OR --

(4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:

a certification as specified in §1.97(e) is provided below; or

a fee of \$180.00 as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:

A. a certification as specified in §1.97(e) is completed below; and

B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; and

C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.

Fee Authorization. The Commissioner is hereby authorized to charge the above-referenced fees of \$0.00 and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 08-1641 (Docket No. 39878-0021).

Dated: 7/11/04

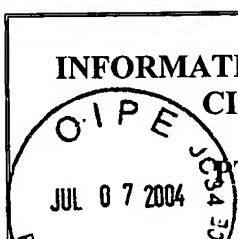
Respectfully submitted,

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INFORMATION DISCLOSURE CITATION 	ATTY. DOCKET NO.	SERIAL NO.
	39878-0021	10/613,772
	APPLICANT Kaplan	
	FILING DATE 07/02/2003	GROUP 2633

U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	5,161,206	11/3/92	Djupsjöbacka	385	2	
	5,222,103	6/22/93	Gross	378	54	
	5,416,859	5/16/95	Burns, et al.	385	3	
	6,476,952	11/5/02	Snawerdt	359	173	
	2003/0007216	1/9/03	Chraplyvy et al.	359	161	
	2003/00043437	3/6/03	Stough, et al.	359	173	
	2003/00090768	5/15/03	Liu, et al.	359	183	
	2001/0007601	7/12/01	Kondo et al.	385	2	

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	GB2289812	10/3/94	Great Britain			<input type="checkbox"/>	<input type="checkbox"/>
						<input type="checkbox"/>	<input type="checkbox"/>

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	G. Nicholson, "Optical Source linewidth criteria for heterodyne communication systems with PSK modulation", Optical and Quantum Electronics, Vol. 17, pp. 399-410, 1985.
	R.A. Griffin, et al., "10 Gb/s optical differential quadrature phase shift key (DQPSK) transmission using GaAs/A ₁ GaAs integration", Proceedings OFC-2002, March 2002, Anaheim, CA, post-deadline paper.
	G. Kazovsky, et al, "ASK and FSK coherent lightwave systems: a simplified approximate analysis", IEEE Journal of Lightwave Technology, Vol. 8, No. 3, pp. 338-353, 1990.
	S. Shimotsu, et al., "Single Side-Band Modulation Performance of LiNbO ₃ Integrated Modulator Consisting of Four-Phase Modulator Waveguides". IEEE Photon. Tech. Letters, Vol. 13, No. 4, pp. 365-366, 2001.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.